



RECORDS RETENTION AND DISPOSITION SCHEDULE

Natural Resources, Department of. Historic Preservation and Archaeology, Division of

| Agency: Historic Preservation and Archaeology, Division Division: | | | |
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| ITEM NO. | RECORD SERIES | TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis) | RETENTION PERIOD |
| 1 | 2015-01 | ENVIRONMENTAL REVIEW RECORDS: ADVERSE EFFECT These are projects that would result or have resulted in findings of "adverse effect." The Division of Historic Preservation and Archaeology is required pursuant to IC 14-21-1-12 and 16 USC 470 to review projects for actions which may affect historic properties. The Division must maintain information on historic sites and structures for the projects reviewed. This policy includes oversized drawings associated with Environmental Review projects. Disclosure of these records may be affected by 43 CFR 7.7 and IC 14-21-1-32. | TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after ten (10) years of inactivity or completion of the project. |
| 2 | 2015-02 | INDIANA PROGRAMMATIC AGREEMENTS The Division of Historic Preservation and Archaeology participates in Programmatic Agreements with outside parties for the purpose of environmental review projects under 36 CFR 800.14. | MICROFILM according to 60 IAC 2, five (5) years after signature. TRANSFER original negative roll to the INDIANA ARCHIVES for permanent archival retention; RETAIN hard copies permanently in agency for reference purposes. |
| 3 | 2015-03 | BUILDING INVENTORIES AND MAINTENANCE PLANS This includes Section 110 Documentation which the Division of Historic Preservation and Archaeology is required pursuant to 16 USC 470 to assist federal agencies in their identification, evaluation, and protection of their historic properties. It also includes inventories and maintenance plans for state properties and ones used for environmental review purposes that are not included in other retention policies. | TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after expiration or when replaced by a newer inventory or plan. |
| 4 | 2015-04 | CEMETERY RECORDS Cemetery Development Plans: Files consist of documentation required pursuant to IC 14-21-1-26.5 for the review of construction projects within 100 feet of a cemetery or burial ground. Cemetery and Burial Ground Registry Forms: Files consist of documentation required pursuant to IC 14-21-1-13 for the development of a list and locations for all known cemeteries in the state. Cemetery Reclassification Forms: Includes documentation required under IC 6-1.1-6.8 to classify land as "cemetery land." | MICROFILM development and reclassification plans according to 60 IAC 2 after ten (10) years. TRANSFER original negative roll to the INDIANA ARCHIVES for permanent archival retention. IMAGE registry forms according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for permanent archival retention, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes. |
| 5 | 2015-05 | CEMETERY PROBING PERMIT APPLICATIONS AND CORRESPONDING APPROVAL OR DENIAL LETTERS Files consist of documentation and applications pursuant to IC 14-21-1-28 and the Natural Resources Commission Emergency Rule #08-899 for the license to probe in a cemetery for sunken grave memorials. | Destroy five (5) years after permit date. |
| 6 | 2015-06 | NETWORK TO FREEDOM APPLICATIONS Includes final application and approval or denial letter for a site, collection, or program to be listed in the National Park Services' Network to Freedom Program. | MICROFILM according to 60 IAC 2 after ten (10) years. TRANSFER original negative roll to the INDIANA ARCHIVES for permanent archival retention. RETAIN hard copies in agency for reference purposes as long as program is administered by the agency; after this time, hard copies may be offered to other historical agencies or related not-for-profits, or destroyed. |

Approved by the Indiana Oversight Committee on Public Records

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| 7 | 91-15 | <p>STATEWIDE PLANNING STUDIES</p> <p>Files consist of data, documentation, and communications related to the development of a comprehensive Statewide Historic Preservation Plan document. Preparation of such a plan on a periodic basis, and according to minimum federal requirements, is a task required under the National Historic Preservation Act of 1966, as amended. Statewide Historic Preservation Plans are submitted to and approved by the National Park Service.</p> <p>Documentation of the plan-s development should be retained in the Division of Historic Preservation and Archaeology throughout the in-force period of the plan (the planning cycle), including the period of development of the subsequent plan. The planning cycle is typically seven (7) years, but may be extended by the Division of Historic Preservation and Archaeology with the concurrence of the National Park Service.</p> | <p>TRANSFER statewide historic preservation planning files to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after expiration of the planning cycle and approval by the National Park Service of the State-s subsequent Statewide Historic Preservation Plan.</p> <p>TRANSFER one copy of the finalized and federally approved statewide historic preservation plan document and one copy of any plan publications to the INDIANA ARCHIVES for permanent archival retention.</p> |
| 8 | 91-16 | <p>ENVIRONMENTAL REVIEW RECORDS: NO EFFECT/NO ADVERSE EFFECT</p> <p>These are projects that would result or have resulted in findings of "no historic properties affected" or "no adverse effect." The Division of Historic Preservation and Archaeology is required pursuant to IC 14-21-1-12 and 16 USC 470 to review projects for actions which may affect historic properties. The Division must maintain information on historic sites and structures for the projects reviewed. This policy includes oversized drawings associated with Environmental Review projects. Disclosure of these records may be affected by 43 CFR 7.7 and IC 14-21-1-32.</p> | <p>TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after three (3) years of inactivity or completion of the project.</p> |
| 9 | 91-17 | <p>ENVIRONMENTAL REVIEW MITIGATION DOCUMENTATION</p> <p>Documentation created as mitigation for an environmental review follows the Minimum Documentation Standards of the Division. Records typically include drawings, photos and research material relating to buildings, bridges and other historic properties. These records include the Historic American Building Surveys and Historic American Engineering Records (H.A.B.S. and H.A.E.R.) THIS IS A CRITICAL RECORD.</p> | <p>IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER hard copies to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility.</p> |
| 10 | 91-20 | <p>HISTORIC PRESERVATION GRANT RECORDS</p> <p>Files consist of both federally funded and state funded grant programs. State grant funds assist specific preservation activities defined in State statutes. Federal grant funds assist the Division of Historic Preservation and Archaeology with operations, public education initiatives, and pass-through subgrants and cooperative agreements that help the state meets its goals for cultural resource management. Grant program files generally include federal grant applications and periodic reporting, subgrant program planning and development, subgrant project selection records, financial information, and subgrant project files with documentation of costs and accomplishments. Types of projects assisted generally include surveys to identify historic and cultural resources, nominations to the National Register of Historic Places, preservation education activities, preparation of studies and plans for rehabilitation projects, and rehabilitation activities at historic buildings. Federally assisted rehabilitation projects require protective covenants for specific periods of time, usually five (5) or ten (10) years; covenant records, correspondence, monitoring forms, and inspection reports are maintained in separate files.</p> | <p>TRANSFER grant records and subgrant project files to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principals, seven (7) years after completion of the grant program cycle and any required final reporting, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges and after receipt of NATIONAL PARK SERVICE Audit Report and resolution of unsettled issues. TRANSFER covenant files to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principals after expiration of the covenant.</p> |

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| 11 | 91-21 | <p>CERTIFIED LOCAL GOVERNMENTS</p> <p>16 U.S.C. 470 requires states to design programs that will share administration of a national preservation program with municipal government stakeholders. A Certified Local Government (CLG) means any local government certified by the National Park Service as meeting requirements set forth in 36 CFR Part 61. General CLG files contain each community-s original application for CLG certification, correspondence from the certification process, maps and locally adopted guidelines, plans and products, and general correspondence. Reporting and monitoring files contain annual and/or periodic reports filed by each CLG, as well as evaluation and monitoring reports and correspondence by the Division.</p> | <p>TRANSFER general CLG files to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principals three (3) years after any decertification action occurs.</p> <p>TRANSFER reporting and monitoring files to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principals three (3) years after date of last report or correspondence.</p> |
| 12 | 91-22 | <p>INDIANA HISTORIC SITES AND STRUCTURES INVENTORY</p> <p>Most studies are performed under grants made to local or statewide historic preservation organizations. The file typically contains inventories, photographs and their negatives, maps, and reports. Studies are arranged by county. A book is published for most counties. DHPA continues to utilize these records to fulfill its Federal and State mandates and programs.</p> | <p>IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes.</p> |
| 13 | 91-23 | <p>NATIONAL REGISTER OF HISTORIC PLACES</p> <p>This is a federal program administered through the states in accordance with 16 USC 470. Copies of documents are retained by this Division with originals transmitted to the National Park Service, National Register Office. An Indiana property listed on the National Register is automatically included on the Indiana Register of Historic Sites and Structures. Two (2) copies of the final National Register nomination are retained. THIS IS A CRITICAL RECORD. Retention based on 36 CFR 67.6.</p> | <p>IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes.</p> |
| 14 | 91-24 | <p>INDIANA REGISTER OF HISTORIC SITES AND STRUCTURES</p> <p>This is a state program administered through this Division pursuant to IC 14-21-1-12. These properties were nominated for the National Register of Historic Places but approved only for the state register. A file typically contains the same type of material as the National Register of Historic Places. Disclosure of nominations involving archaeology sites may be affected by 43 CFR 7.7 and IC 14-21-1-32. Retention based on 36 CFR 67.6.</p> | <p>IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes.</p> |
| 15 | 91-25 | <p>INACTIVE NATIONAL REGISTER RECORDS</p> <p>Some nominations for the National Register of Historic Places and the Indiana Register of Historic Sites and Structures are not accepted. Insufficient information is submitted in order to make a decision or the Historic Preservation Review Board meets and the nomination is rejected. If a historic property is altered or demolished, it will also be removed from the register. These records are not duplicated in any other location and may be needed if activity is resumed with a property. Retention based on 36 CFR 67.6.</p> | <p>IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes.</p> |

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| 16 | 91-27 | FEDERAL AND STATE TAX INCENTIVES-HISTORIC BUILDINGS REHABILITATION To be eligible for tax incentives, a building must be listed on the National Register of Historic Places or Indiana Register of Historic Sites. Historic rehabilitation must follow the standards of the U.S. Secretary of the Interior in accordance with 36 CFR, Part 67. The Division of Historic Preservation and Archaeology architect reviews the plans and makes a recommendation to the National Park Service. The National Park Service has approval/denial authority and must certify the historic rehabilitation for federal credit. No financial or tax records of individuals are maintained by the Division. The file usually includes final letters of approval from the National Park Service and/or DHPA, a project description, drawings, and before and after rehabilitation photos. Retention based on 36 CFR 67.6. | TRANSFER to the INDIANA ARCHIVES, five (5) years after completion of the historic rehabilitation. NOTE: all photographs and negatives will be preserved by the INDIANA ARCHIVES. |
| 17 | 91-28 | ARCHAEOLOGICAL INVESTIGATION PLANS, SITE FORMS, AND REPORTS These plans, site forms, and reports have been submitted to the Division pursuant to the requirements of IC 14-21, 16 U.S.C. 470 Section 106, and research needs. The plans and reports contain physical descriptions of project areas, known archaeological resources, methodologies, and various other items including maps, graphs, photographs, and correspondence. Archaeological site forms contain specific information regarding locations, methodologies, deposits, and collected materials. Disclosure of these records may be affected by 43 CFR 7.7 and IC 14-21-1-32. | IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes. |
| 18 | 91-29 | ACCIDENTAL DISCOVERY REPORTS These reports are created in response to reports of discoveries of human remains, artifacts, burial objects, and/or potential violations pursuant to IC 14-21-1. Disclosure of these records may be affected by 43 CFR 7.7 and IC 14-21-1-32. Retention based on IC 35-41-4-2. | IMAGE according to IARA imaging standards and add to the SHAARD database. TRANSFER one copy of electronic records (images and indexes) to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after verification for completeness and legibility. RETAIN hard copies permanently in agency for reference purposes. |